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August 25, 2009

David G. Henry
Policy Analyst, Homeland Security and Technology
National Governors Association
NGA Center for Best Practices
444 North Capitol Street, Suite 267
Washington, DC 20001-1512

Dear David:

In regard to the Policy Academy on Public Safety Interoperable Communications: Focus on Governance, attached please find our Final Report and Project Summary documents. Once you have reviewed these items, please let me know if you have any questions or need any additional information. We will send the financial documents separately within the next month.

It was a pleasure working with you and the NGA Staff Members as we progressed through the Academy. We found that the Academy did far more than educate us about best governance practices. We gained an understanding of the critical need to be practitioner-driven, an appreciation of the value each element brings to a governance model and a better awareness of the critical role of a SWIC in governance.

One very important feature of the Policy Academy was the flexible format that allowed each participant to choose goals and deliverables appropriate for them. We appreciated this flexibility as we broadened our view of governance and added stakeholders and activities as we progressed. We also want to acknowledge the value of the outstanding governance materials we worked with, and will continue to use in the future.

Thank you for the opportunity the Policy Academy provided to help us improve our interoperable communications governance in Arizona. We highly recommend this Academy to other states and would be eager to participate in other NGA interoperability-related Academies if they become available.

Sincerely,

A handwritten signature in blue ink that reads "Lisa Dee Meyerson". The signature is fluid and cursive, with the first name "Lisa" being more prominent.

Lisa Dee Meyerson
Arizona Statewide Interoperability Coordinator
Manager, Public Safety Interoperable Communications Office

Arizona Final Report

NGA Policy Academy
PUBLIC SAFETY INTEROPERABLE COMMUNICATIONS:
FOCUS ON GOVERNANCE
Final Report
August 2009

As we approach the end of the performance period for the policy academy, NGA would like to assess your work for the project as well as to improve our policy academy process. This final report will serve to summarize your project, identify weaknesses and strengths in your development of interoperable communications governance, and to share your outlook and prospects for sustaining your work beyond the policy academy. Please provide responses to David Henry at dhenry@nga.org no later than **Friday, August 28, 2009**.

1. What were the major hurdles you had to overcome to complete your proposed governance project?

We were able to make steady progress toward achieving governance goals in a rapidly changing environment, i.e. new governor, new administration, a new Statewide Interoperability Coordinator (SWIC), new agency housing the SWIC, a new director for that agency. However, unprecedented budgetary constraints made that progress very challenging.

2. Did your goals change throughout the performance period? Explain.

Yes. At the time of application, our governance project was viewed primarily as an opportunity to create sound governance documents, standard operating procedures and performance measures for Arizona's Statewide Interoperability Governing Body (SIGB).

Participation in the Academy motivated the Arizona team to make a thorough analysis of the Federal Department of Homeland Security's Office of Emergency Communications (OEC) methodology of statewide governance. As the team began viewing governance more broadly in terms of how it could support achieving interoperability initiatives, the roles and responsibilities of additional governance elements (i.e., SWIC, SIGB, etc.) gained importance. The focus of the project expanded to elements of the governance model in addition to continuing the work of developing governance documents, procedures and measurements.

Arizona Final Report

3. What were the outcomes and benefits to the stakeholders and practitioners in your state?

Arizona has developed a more robust governance structure. Each governance element makes a very specific contribution to the State's overall governance in support of interoperability advancement. Progress in all areas of the SAFECOM Interoperability Continuum has accelerated as a direct result of the refinements to our governance model.

The progress being made and a clearer delineation of roles have resulted in more stakeholders becoming engaged. Stakeholders are now being actively tasked with achieving specific objectives. A dedicated outreach program supported by the PSIC Office is helping to assure that education of practitioners and opportunities for them to engage continues.

Our addendum to this questionnaire, the [Arizona Policy Academy Project Summary](#), provides details of the achievements we made that continue to benefit our stakeholders and practitioners.

4. What lessons did you learn during the project? What worked/what didn't?

For the majority of our Public Safety Communications Advisory Commission (PSCC) and Statewide Interoperability Executive Committee (SIEC) members, which represent our SIGB, the word "governance" is synonymous with a top-down model for controlling a statewide interoperability system. Earlier governance work was done when a single statewide system was envisioned, and included the anticipated need for capabilities such as rate setting, weighted voting and system withdrawal.

Two day-long stakeholder meetings – November 2008 and February 2009 – determined that a single statewide system was not viable or desirable at this time. However, the implications of retaining existing concepts of governance when the concept of the statewide system itself had changed were not readily understood. Spending more time addressing the concept of a new governance model needed for the State's updated interoperability goals could have eased the flow of our governance work. We continued to fight with old views of governance, which made it difficult to set a clear direction for stakeholders involved.

Arizona Final Report

We did find that by selecting specific interoperability governance tasks and moving them through the updated governance structure, stakeholders gradually gained an understanding and acceptance of the new model. By using our refined governance structure rather than just talking about it, we were able to make progress and lessen the need to “sell” the new governance model.

5. What were the keys to success? What tools were most useful?

In 2009, Arizona was awarded three Technical Assistance (TA) Requests as part of the Office of Emergency Communications (OEC) Interoperable Communications Technical Assistance Program (ICTAP). Two of these requests related directly to the State’s work with the Policy Academy, allowing us to leverage these resources to advance our governance work already underway. One particular advantage provided by the subject matter expert engaged through the TAs was her perspective as a neutral third party with knowledge of multiple approaches to governance.

Arizona’s success in strengthening its key governance elements was also largely due to a relatively new and highly successful outreach program. Twenty-nine new members were recruited for SIEC Technical and Operational Workgroups. Local subject matter experts were incorporated from the stakeholder resource pool, and began actively participating in strategic meetings and teleconferences. The PSIC Office was able to provide recommendations to the new Governor for replacement PSCC members who were well qualified and willing to take on the Commission’s work.

The OEC Guide “Establishing Governance to Achieve Statewide Communications Interoperability” was continually referred to throughout the project, and established the foundation for the Policy Academy work. It is an outstanding document. The writing guides for MOUs and SOPs, as well as the template for creating a charter, were also helpful. Finally, the SAFECOM Interoperability Continuum was used as a fundamental visual aid to communicate with stakeholders and gain their support for governance as a critical success element of interoperability.

Arizona Final Report

6. Did you meet your objectives as identified in the proposal? Were there other stakeholders that you incorporated during the policy academy that were not identified in the original proposal?

Our objectives evolved as we expanded the number of elements in the governance model needing to be addressed by the Policy Academy work. As a result, we achieved important new objectives related to strengthening governance elements but produced fewer governance documents, procedures and performance measures than originally proposed during the Policy Academy time span.

For example, we had planned on developing a Charter for the SIGB. The team expressed concerns about developing a Charter once it became clear that State leadership was changing, and that the Commission's Chairman and over half of its members were scheduled for replacement. We participated in the Targeted Capabilities Assessment completed by the Arizona Department of Homeland Security during the Policy Academy timeframe and will continue to benefit from having the baseline data established by that assessment going forward. We also focused on related activities like improving the meeting schedules, activating workgroups and energizing them with new members, and finding outstanding candidates to recommend for appointment to the Commission. We still intend to develop a charter document for the SIGB, but plan to do this when the new Commissioners are seated and have been oriented to our governance needs and goals.

We had many different stakeholders incorporated in our Policy Academy work that were not reflected in our original proposal. However, the PSIC Office lost resources due to new budget constraints and some Policy Academy tasks were reassigned as a result.

On the plus side, Arizona envisioned having a representative from each of its key partner agencies involved, but learned that the participation of multiple representatives from different levels in those agencies was essential. The project work was enhanced by feedback from these additional representatives. Subject matter experts, regional representatives and Workgroup members recruited through the PSIC Office outreach program all contributed to our work. On the whole, the stakeholder group was much larger and more diverse than the stakeholder group originally proposed.

Arizona Final Report

7. How will you disseminate your governance work to others in your state and/or surrounding states? How do you plan to inform your state executives on the outcomes of the project?

One way we hope to disseminate what we have learned is to apply it at the regional level in the State. Arizona now has a good body of knowledge and best practices related to governance to achieve interoperability. This knowledge can be applied at the regional level to facilitate efforts by our regional partners to advance their governance work. We also know that our new leaders and appointees will need to develop an understanding of the governance work we have done and still have to do. After our education effort with them is complete, we must provide similar education statewide as we continue to encourage local participation.

The SIGB submits an annual report of its activities and recommendations to the Governor. The report for this year will provide details of Arizona's participation in the NGA Policy Academy, and summarize the project's achievements and recommendations.

8. What are your next steps as you transition from the governance policy academy planning to governance implementation? How will your efforts live beyond the performance period?

Because Arizona chose to move specific interoperability work through the new governance model, governance implementation is already underway in many respects. However, there are elements of the model that still need work to become fully functional in Arizona. Specifically, the State Agency Group is just now in formation and will need much support as it begins its work. The intrastate regional areas outside Arizona's metropolitan areas are not clearly defined and there are many "have nots" who need to become part of a practitioner-driven regional organization. The current PSIC Office outreach plan outlines specific activities that will foster this development, and the first regional outreach governance strategy meeting is already scheduled.

In the past year, the State's governance entities underwent a significant transition related to new state legislation and changes in administration. These entities are now stabilized and have just recently attained observable forward momentum. They are benefitting from fresh new participation, and many more stakeholders are actively engaged. The PSIC Office expects to capitalize on this momentum by planning and executing regular, specific improvements to Arizona's governance.

Arizona Final Report

9. How can the National Governors Association Center for Best Practices improve our policy academy program for the states?

Since governance is such a far-reaching topic, states could benefit from focusing on governance sub-topics. For example, we learned at the Policy Academy meeting in July that there are plans to formulate additional guidance for governance efforts focusing on rural areas. When that work is complete, states who are ready to devote resources to developing governance in rural areas could come together to address that specific issue in detail. This would allow participant states to support and mentor each other's efforts.

States could also benefit from more than one experience with the Policy Academy. The program as it exists is outstanding. Participants are moving along the governance continuum, but have not reached all of their end goals. To some extent, all participants come out of the Policy Academy "knowing what they don't know." As they finish their Policy Academy work, they have achieved objectives in some areas, but now understand how much more work they have to do in other areas. When a period of time has passed, those states could be asked to identify additional governance objectives and would benefit from Policy Academy support as they work to achieve them.

Addendum to the NGA Policy Academy – AZ Final Report

Public Safety Interoperable Communications: Focus on Governance

AZ Policy Academy Project Summary

Introduction

This report outlines the results of The State of Arizona's participation in the National Governors Association (NGA) Policy Academy - Public Safety Interoperable Communications: Focus on Governance.

The report describes Arizona's goals for the Policy Academy and the project's achievements. It illustrates how Arizona is poised to leverage its governance structures to advance interoperability, and provides a status report of governance efforts completed, in process, and deferred for later implementation.

Definitions

The following governance terms are used in DHS' "Establishing Governance to Achieve Statewide Communications Interoperability" guide (<http://www.safecomprogram.gov/NR/rdonlyres/24F10648-2642-42F3-8305-B29315F833BF/0/EstablishingGovernanceGuide.pdf>) and are used in this report as defined below.

State Interoperability Governing Body (SIGB) - This body serves as the primary steering group for the statewide interoperability effort. [*The Public Safety Communications Advisory Commission (PSCC) and the Statewide Interoperability Executive Committee (SIEC) together serve as Arizona's SIGB.*]

Statewide Interoperability Coordinator (SWIC) - The SWIC serves as the governance structure's coordinator and program manager. [*Arizona's Public Safety Interoperable Communications (PSIC) Office within the Government Information Technology Agency is led by Arizona's SWIC.*]

Goals

The NGA Policy Academy on Governance provided Arizona with an opportunity to obtain resources and subject matter expertise to address what was, at the time of application, Initiative #3 of the Arizona Statewide Communications Interoperability Plan (SCIP) - Expanding the Governance Model. This Initiative was identified as both short term and high priority. On May 19, 2009, the PSCC approved a revised set of strategic initiatives and supporting objectives for inclusion in the Statewide Communications Interoperability Plan (SCIP). The updated SCIP Governance Initiatives and supporting objectives were approved as follows:

Addendum to the NGA Policy Academy – AZ Final Report

Public Safety Interoperable Communications: Focus on Governance

AZ Policy Academy Project Summary

Initiative #1: Expand & implement Interoperable Communications Governance Model & Plan, with the following sub objectives:

- Conduct an annual SCIP review and update the plan.
- Develop a Comprehensive Emergency Communications Plan addressing regional emergencies, catastrophic loss and mass evacuation/ingress.
- Develop TICPs and utilization of CASM
- Strengthen the SIEC

Expansion and strengthening of the Governance Model has been and continues to be a priority and is viewed in Arizona as an essential precursor to achieving other key strategic interoperability objectives.

Achievements

Model Update

Two advances to Arizona's Governance Model were completed during the Academy:

- The Governance Model was reworked at the outset of the project to identify entities in the model, their relationships and responsibilities.
- The Governance Model was refined as governance work progressed, the roles and operational characteristics of the participating entities were modified, and national "best practice" recommendations were implemented.

Strengthening Fundamental System Components

Arizona's SIGB = Public Safety Communications Advisory Commission (PSCC) + Statewide Interoperability Executive Committee (SIEC)

PSCC

- The PSCC's meeting structure has been updated to strengthen its effectiveness.
 - The PSCC meets bi-monthly instead of quarterly to accelerate workflow.
 - The meeting schedule alternates PSCC and SIEC meetings to facilitate more effective direction-setting and processing of recommendations.
 - Regional updates are being incorporated into meeting agendas to facilitate sharing of regional advances and identification of unmet regional needs.
 - Meeting locations are distributed throughout the State to facilitate participation by additional organizations and individuals statewide.

Addendum to the NGA Policy Academy – AZ Final Report
Public Safety Interoperable Communications: Focus on Governance
AZ Policy Academy Project Summary

- A new Chairman of the PSCC was appointed and assumed his duties consistent with statute.
- Recommendations were made to the new Governor for appointments to the Commission to fill vacant positions or to replace positions where initial terms are expired and members are no longer active. These recommendations reflect:
 - Legislative requirements for commissioners to represent all five emergency response regions, and
 - A desire for the Commission to represent multiple disciplines, localities and organizations.

SIEC

- The SIEC is now meeting bi-monthly to accelerate workflow.
- Operational and Technical Workgroups have been reconstituted with full and representative participation of public safety and services personnel from various disciplines, localities and organizations. Twenty-nine new members have been added.
- The cycle of Workgroup tasking and referral of recommendations back to the SIEC has been initiated. The Workgroups are actively engaged in their assigned tasks.
- Standing Workgroups are facilitating a more practitioner-driven approach to the planning process.
- The frequency and quality of communication has been improved by incorporating electronic communication and teleconferencing tools.
- The SIEC has been tasked to work on many of the Governance documents, procedures and performance measures needed by Arizona.

Statewide Interoperability Coordinator's Office (SWIC)

- The Public Safety Interoperable Communications (PSIC) Office was reconstituted via legislation within the Government Information Technology Agency, a strategic planning and coordination agency for the State.
- Lisa Meyerson, manager of the Public Safety Interoperable Communications (PSIC) Office was appointed as Arizona's first Statewide Interoperability Coordinator.
- PSIC staff members have been assigned responsibility for supporting Outreach (identification of unmet needs, recruitment of stakeholders, education) and other recommended responsibilities, such as SCIP program management and grants coordination.

Addendum to the NGA Policy Academy – AZ Final Report
Public Safety Interoperable Communications: Focus on Governance
AZ Policy Academy Project Summary

- Pursuant to national best practices, formal and regular communication has been instituted at multiple levels with the following key partner agencies:
 - Arizona Department of Homeland Security, the State Administrative Agency (SAA) that sets priorities and allocates funds for federal grants related to homeland security
 - Arizona Department of Public Safety (DPS)
 - The DPS Wireless Systems Bureau provides the Microwave backbone infrastructure used by State agencies and many local public safety agencies
 - DPS also provides technical support and maintenance for the Arizona Interagency Radio System (AIRS), a statewide interoperability solution.
 - DPS is the planned lead for the new State Agency Interoperability Committee
 - Arizona Division of Emergency Management (ADEM) in the Department of Emergency and Military Affairs (DEMA), the agency coordinating emergency services, including communication services and efforts to reduce the impact of disasters
- Active engagement is maintained by the SWIC with the following federal, tribal, border and regional groups:
 - National Public Safety Telecommunications Council (NPSTC)
 - Regional Emergency Communications Coordination Working Group (RECCWG)
 - National Native American Law Enforcement Association (NNALEA)
 - Regional Four Corners Homeland Security Coalition (R4C)
 - National Governors Association (NGA)
 - National Statewide Interoperability Coordinators (National SWIC)
 - Federal Partnership for Interoperable Communications (FPIC)
 - Southwest Border Communications Working Group (SWBCWG)

State Agency Group

- A State Agency group is currently in formation
 - It will be led by the Arizona Department of Public Safety, a state agency with representation on the PSCC (SIGB).
 - It is hoped that members are to be assigned to participate by Agency Directors will be empowered to speak on behalf of their agencies
 - The PSIC Office (SWIC) will participate as a member of the group

Addendum to the NGA Policy Academy – AZ Final Report
Public Safety Interoperable Communications: Focus on Governance
AZ Policy Academy Project Summary

Stakeholder Resource Pool

- Arizona has strengthened its stakeholder resource pool by identifying and recruiting many new public safety stakeholders through extensive outreach efforts.
- The State has established a full time Outreach Manager to assure continuation of these efforts.
- Current and complete contact information for stakeholders is being captured and maintained.
- Regular communication between the PSIC Office Outreach Manager and stakeholder resource pool members has been established.

Leveraging Governance

Development of the Arizona Interagency Radio System (AIRS) SOP

- Background
 - AIRS is a suite of cross-banded mutual aid (i.e. VHF, UHF, and 800MHz) channels designed to provide interoperable communications capability statewide to first responders of police, fire, and emergency medical service agencies, as well as other personnel of municipal, county, state, tribal, federal agencies and approved non-governmental organizations (NGOs) performing public safety or public service activities. These radio frequencies are to be used in the event of a multi-agency operation requiring the use of the common state radio channel(s), specifically for the purpose of coordinating activities during identified incidents or events. AIRS frequencies are not designed to be used by a single agency for routine public safety operations.
 - AIRS is currently the only system providing statewide interoperable communications for multi-agency use statewide; more than 130 agencies have signed an AIRS MOU.
 - AIRS technical support and maintenance is provided by the AZ Department of Public Safety, while the SIEC provides AIRS oversight.
 - The PSIC Office applied for and received a Technical Assistance grant providing expertise to assess existing AIRS documentation and to develop a concise and effective AIRS SOP.
- Progression through the Governance Model
 - The need for an AIRS SOP was identified and its creation requested during an all-day working session of the PSCC, SIEC and stakeholders statewide in November 2008.
 - A Technical Assistance (TA) request to OEC for statewide SOP development was applied for by the PSIC Office and awarded in early 2009.
 - The PSIC Office collected and forwarded all available AIRS documentation to ICTAP.

Addendum to the NGA Policy Academy – AZ Final Report
Public Safety Interoperable Communications: Focus on Governance
AZ Policy Academy Project Summary

- Progression through the Governance Model - *Continued*
 - The ICTAP representative provided an assessment of the relevant AIRS material at the SIEC meeting in April 2009 and solicited feedback.
 - The PSIC Office hosted a teleconference with the SIEC Technical and Operational Workgroups to discuss and collect missing information in May 2009.
 - ICTAP provided the PSIC Office with Draft 1 of the document in June. The PSIC Office reviewed and edited the draft to produce Draft 2.
 - Draft 2 was distributed to the SIEC Technical and Operational Workgroups for review and comment, and was discussed in detail at the June meeting of the SIEC and its Workgroups.
 - ICTAP integrated information from the meeting and from additional written feedback to produce Draft 3.
 - Draft 3 has gone through additional review by subject matter experts and SIEC Workgroup members.
 - When the SOP is complete, it will be presented to the SIEC at its bi-monthly meeting for final discussion and approval.
 - After SIEC approval is obtained, the recommended AIRS SOP will be presented to the PSCC at its next bi-monthly meeting for approval and subsequent distribution to AIRS users statewide.

Governance Documents

Standard Agreements

Development of a model MOU template is underway and Arizona MOUs are being collected and reviewed for applicability and potential sharing as Arizona sample documents.

Performance Measures

Identification and presentation of performance measures related to current SCIP Initiatives is underway.

Related Matters

The Arizona Department of Homeland Security, with the support of DEMA and other stakeholders, is currently engaged in a statewide Target Capabilities Assessment (TCA) Project on the 37 homeland security target capabilities, including communications.

Addendum to the NGA Policy Academy – AZ Final Report
Public Safety Interoperable Communications: Focus on Governance
AZ Policy Academy Project Summary

The finished product will be a comprehensive report including:

- An analysis of the state's target capabilities
- Identification of any gaps in the state's ability to prevent, respond to and recover from hazards (terrorism and man-made)
- An assessment of the needs to fill the identified gaps

This assessment will be used as a foundation for future collaborative work within regions and between regions and the State.

In addition, Arizona is in the process of working with the U.S. Department of the Interior on a border interoperable communications demonstration project and intends to leverage the TCA information from its four border counties for this design effort.

Proposed deliverables/actions not completed during the Policy Academy Project Timeframe

- Additional SOPs for Interoperable Communications – The NPSTC's National Interoperability Information Exchange (NIIX) is developing and strengthening its national library of peer-supplied documents that includes plans, agreements, governance, policy, legislation, SOPs and funding documents. Arizona's public safety agencies can access the library and can even form a NIIX community where they can manage documents they are developing. Given the time constraints of the Policy Academy Project, the PSIC Office plans to utilize the work being done by NIIX as a starting point and, over time, look to develop additional resources to meet specific Arizona needs.
- PSCC Charter and By-Laws: Work completed to date through the PSCC and its standing Governance Workgroup in regard to the PSCC and its Charter is as follows:
 - A working session was held with the existing Governance Workgroup members to discuss statewide governance concepts, best practices, and the recommended role of a Governance Workgroup.
 - Dozens of documents and agreements developed over the past several years related to the PSCC and its efforts were assembled by the PSIC Office.
 - Assessment of the documents was completed with the help of a subject matter expert provided through a Technical Assistance request.
 - Good current material appropriate for inclusion in a "charter/general policies" document and associated governance documents was identified and gaps in available information were documented.

Addendum to the NGA Policy Academy – AZ Final Report
Public Safety Interoperable Communications: Focus on Governance
AZ Policy Academy Project Summary

- A draft charter was developed by ICTAP.
- Arizona’s evolution from a governance “ownership” model to a governance “collaboration” model was recognized.
- The need to incorporate stronger regional inputs and to incorporate more local, tribal, and federal participation was identified and possible solutions were discussed in two public meetings.
- Since the Commission was formed by legislation, its primary governance document will be titled Operating Principles rather than being termed a Charter. It will refer to legislative provisions word for word, rather than paraphrasing them.
- The PSIC Office staff is drafting an Operating Principles document for Commission approval.

Conclusion

Arizona’s participation in the NGA Policy Academy - Public Safety Interoperable Communications: Focus on Governance occurred at an opportune time for the State. As the State was moving away from its original intention to implement a single statewide system, we needed to revise our governance model to meet current interoperability requirements. By using the resources available through the Policy Academy, Arizona benefitted from exposure to interoperability best practices and subject matter experts as it implemented its governance work. Arizona’s governance model will need continual updating to meet the State’s ever changing interoperability challenges, but the State has established a solid governance foundation and will continue to benefit from the Policy Academy experience as it moves forward with its communications interoperability work.